

**BY ORDER OF THE  
SECRETARY OF THE AIR FORCE**



**AIR FORCE INSTRUCTION 33-322**

**7 OCTOBER 2003**

**30TH SPACE WING  
Supplement 1**

**22 NOVEMBER 2004**

**Communications and Information**

**RECORDS MANAGEMENT PROGRAM**

**COMPLIANCE WITH THIS PUBLICATION IS MANDATORY**

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This instruction implements Air Force Policy Directive (AFPD) 37-1, *Air Force Information Management* (will become AFPD 33-3). It establishes policy and assigns responsibilities for life-cycle management (i.e., creation, maintenance and use, and disposition) of information as records in all media through the Air Force Records Management Program. The instruction also implements Title 44, United States Code (U.S.C.), *Public Printing and Documents*, Chapters 29, *Records Management by the Archivist of the United States and by the Administrator of General Services*; Chapter 31, *Records Management by Federal Agencies*; Chapter 33, *Disposal of Records*; and Chapter 35, *Coordination of Federal Information Policy*; Title 36, Code of Federal Regulations (CFR), *Parks, Forests, and Public Property*, Chapter XII, *National Archives and Records Administration*, Subchapter B, *Records Management*; Office of Management and Budget (OMB) Circular A-130, *Management of Federal Information Resources*; Title 18 U.S.C., *Crime and Criminal Procedure*, Part I, *Crimes*, Chapter 101, *Records and Reports*, Section 2071, *Concealment, Removal, or Mutilation Generally*; Department of Defense Directive (DoDD) 5015.2, *DoD Records Management Program*, March 6, 2000; DoD Standard 5015.2 (DoD 5015.2-STD), *Design Criteria Standard for Electronic Records Management Software Applications*, June 2002; DoDD 5100.3, *Support of the Headquarters of Combatant and Subordinate Joint Commands*, November 15, 1999, Change 1, March 23, 2000. This instruction applies to all Air Force military, civilians, and contractor personnel under contract by the DoD who maintain records in their area of responsibility. **Failure to observe the prohibitions and mandatory provisions of this instruction in paragraph 3.2.1. by military personnel is a violation of Article 92, Failure to Obey Order or Regulation, Uniform Code of Military Justice. Similarly, failure to observe the prohibitions and mandatory provisions of this instruction in paragraph 3.2.1. by civilian employees may result in administrative disciplinary action under applicable civilian personnel instructions without regard to otherwise applicable criminal or civil sanctions for violations of related laws.** Additional records management publications are listed on the Air Force website at Uniform Resources Locator: <http://www.e-publishing.af.mil>, under Electronic Publications. Air Force Directory (AFDIR) 33-303, *Compendium of Communications and Information Terminology*,

explains other terms. Direct questions or conflicts on the contents of this instruction, through appropriate command channels, to Headquarters United States Air Force (HQ USAF/ILCXE), 1030 Air Force Pentagon, Washington DC 20330-1030. Refer recommended changes or comments to Headquarters Air Force Communications Agency (HQ AFCA/ITXD), 203 West Losey Street, Room 1100, Scott AFB IL 62225-5222, through appropriate channels, using Air Force (AF) Form 847, **Recommendation for Change of Publication**. Provide an information copy to HQ USAF/ILCXE. Refer to [Attachment 1](#) for a glossary of references and supporting information. Maintain and dispose of records according to Air Force Manual (AFMAN) 37-139, *Records Disposition Schedule*. Public Law 104-13, *The Paperwork Reduction Act of 1995* and Air Force Instruction (AFI) 33-360, Volume 2, *Forms Management Program*, affect this publication.

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**(30SW)** This instruction supplements AFI 33-322, 7 October 2003, and applies to all 30th Space Wing and subordinate units assigned or attached to Vandenberg AFB. This supplement provides guidance to maintain and dispose of records created as a result of prescribed processes in accordance with AFMAN 37-123, *Management of Records*, and the Air Force Web Enabled Records Information Management System (Web RIMS) Version 3.0, *Records Disposition Schedule*. This supplement explains requirements for a Records Management Binder (RMB) ([Attachment 2 \(Added\)](#)) and prescribes procedures for establishing and maintaining a RMB. Public Law 104-13, *Paperwork Reduction Act of 1995*, affect this publication. Send proposed/recommended changes to this supplement to 30 SCS/SCBR, 105 13th Street, Suite B-31, Vandenberg AFB CA 93437-5129. This supplement does not apply to Air Force Reserve Command nor Air National Guard units.

## **SUMMARY OF REVISIONS**

**This document is substantially revised and must be completely reviewed.**

This is a total rewrite of Air Force Instruction (AFI) 33-322. It redefines roles and responsibilities at all levels; deletes the requirement for joint commands to appoint a records manager (RM), requires all field operating agencies (FOA) to appoint a RM (paragraph 3.4); revises support provided to joint commands; and updates electronic record-keeping responsibilities throughout. The bar (| ) preceding the publication title indicates a major revision from the previous publication.

**1. General.** Records play a vital role in managing and operating Air Force activities. In simple terms, records document official business, serve as the memory of the organization, a record of past events, and are the basis for future actions. Every Air Force activity must manage its records to comply with legal accountability requirements. The key to an effective records management program is the integrity of the filing system--a system that ensures a standard methodology for filing, storing, retrieving, and ultimately disposing of records according to published retention and disposition schedules. Criteria for establishing a filing system can be found in AFMAN 37-123, *Management of Records*.

1.1. Commanders and staff agency chiefs must implement records management programs in order to comply with this instruction and protect the rights of the U.S. Government and persons directly affected by Air Force actions.

1.1.1. (Added-30SW) Commanders will appoint a Unit Primary and Alternate Functional Area Records Manager (FARM), using 30 SW Form 2, **Records Management (RM) Appointment**,

routing two copies (original to Base Records Manager (RM) and copy to Unit FARM). The Primary FARM will oversee all records management activities for the unit. When the primary is unavailable, the alternate will oversee the same, including use of 30 SW Form 3, **Establishment/Deletion For An Office of Record**, routing two copies (original to Base RM and copy to Unit FARM). Chief of Record (COR) must initiate this form. Commanders are the only authorized personnel to establish and/or delete an office of record.

1.2. This instruction applies to contractors performing records management support and where contractors perform duties/services/functions in place of U. S. Government employees. Performance work statements must include record keeping requirements (see paragraph 10.).

1.3. Air Force units at all levels must manage records systematically to make sure they are complete, accurate, trustworthy, and easily accessible. Air Force units at all levels must document their organization, function, and activities and preserve their records by implementing effective life-cycle management procedures within their areas of responsibility.

**2. Definition of Records.** "...all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included." (Title 44 U.S.C., *Public Printing and Documents*, Chapter 33, *Disposal of Records*, Section 3301, *Definition of records*).

### 3. The Air Force Program Guidance.

3.1. The Air Force Director, Communications Operations (HQ USAF/ILC) oversees the Air Force records management program and appoints the Air Force Records Officer to administer the program, represent the Secretary of the Air Force on records management issues, and oversee the legal requirements of records disposal.

3.2. Air Force Personnel, Civilian Employees, and Contractors:

3.2.1. Must not conceal, remove, mutilate, obliterate or destroy records without proper authority. Unauthorized concealment, removal, mutilation, obliteration or destruction of records, or any attempt to do so, is a violation of Title 18, U.S.C., Section 2071 and may be punished by up to three years confinement and a fine. **Failure to obey the prohibitions in this paragraph is also a violation of Article 92, Uniform Code of Military Justice. Failure of civilian employees to follow the prohibitions in this paragraph may also result in administrative disciplinary action under applicable civilian personnel instructions without regard to otherwise applicable criminal or civil sanctions.**

3.2.2. Must inform officials of any actual or potential unlawful removal, change, or destruction of Air Force records.

3.2.3. Must distinguish Federal records from non-record materials and maintain personal papers separately.

3.3. The Air Force requires an organized network of Record Managers (RM) at major commands (MAJCOM), direct reporting units (DRU), field operating agencies (FOA), and bases for managing the program and ensuring compliance at all levels.

3.3.1. Each MAJCOM (commander or senior communications and information official) must appoint a command records manager (CRM). Upon appointment or subsequent change of RM, notify HQ USAF/ILCX of the name, grade or rank, telephone number, office symbol, and organizational electronic mail address of the appointee.

3.3.2. Each DRU (commander or senior communications and information official) must appoint a RM. CRM responsibility applies to Air Force DRUs and Air National Guard for the purposes of executing the Air Force Records Management Program. The 11<sup>th</sup> Wing supports offices of record in the Secretariat, HQ USAF, and at Bolling AFB DC and should develop a headquarters operating instruction outlining National Capital Region procedures.

3.3.3. Each FOA (commander or senior communications and information official) must appoint an agency records manager (ARM).

3.3.4. Each Air Force base (commander or senior communications and information official) must appoint a base RM and notify the CRM, providing the same information as in paragraph 3.3.1. At levels below MAJCOM, where there is a communications squadron, the RM is the chief of the office of records (COR) function.

#### **4. The Air Force Records Officer.**

4.1. Works with the National Archives and Records Administration (NARA) and General Services Administration (GSA) using the guidelines from Titles 36 CFR and 41 CFR, *Public Contracts and Property Management*.

4.2. Develops and issues policies governing life-cycle management of Air Force records according to AFMAN 37-123, *Management of Records* and AFI 37-138, *Records Disposition--Procedures and Responsibilities*.

4.3. Works with the Archivist of the United States in applying standards, rules, and techniques to improve managing automated and manual records, to improve how the Air Force identifies, maintains, and protects permanently valuable records, and separates and disposes of records of temporary value under guidelines in Titles 36 and 41 CFR.

4.4. Certifies to the Archivist of the United States that records no longer of value to the Air Force are disposable.

4.5. Reports to the Archivist of the United States potential unlawful removal, change, or destruction of Air Force records.

4.6. Establishes guidance and processes to ensure the Air Force properly creates and preserves records that document all aspects of its business to protect the rights of the United States Government and of persons directly affected by Air Force actions.

4.7. Establishes guidance and processes to ensure all records, including databases and those in automated information systems, generated by processes and prescribed in Air Force publications are scheduled.

- 4.8. Establishes guidance and processes to ensure system developers include records management requirements in automated information systems development and redesign.
- 4.9. Applies DoD records management functional and system requirements to all electronic record-keeping systems.
- 4.10. Obtains written approval or concurrence from the Comptroller General of the United States to dispose of records of claims and demands by or against the United States Government or accounts affecting the United States Government.
- 4.11. Negotiates agreements to transfer Air Force records to NARA, Federal records centers (FRC), other Federal agencies, or private organizations.
- 4.12. Implements agreements to store, service, dispose of, access, or use records.
- 4.13. Publishes a records disposition schedule authorizing disposal of agency records and directing prompt and proper disposition of temporary records and retirement of permanent records.
- 4.14. Directs evaluations of the Air Force's Records Management Program, during staff assistance visits (SAV) or Inspector General (IG) team visits, ensuring compliance with Federal, DoD, and Air Force requirements.
- 4.15. Issues guidance on authenticating records according to AFI 33-321, *Authentication of Air Force Records*.
- 4.16. Maintains awareness of developments in the field of records technology and systems, and potential application to the Air Force's record systems..
  - 4.16.1. Provides, upon request, a copy of any report submitted to NARA, GSA, OMB, or the Congress, to the Director of Administration and Management (DA&M), Office of the Secretary of Defense (OSD).
  - 4.16.2. Advises the DA&M, OSD of any matters pertaining to records management that may have DoD-wide implications.
  - 4.16.3. Provides combatant commands with requested administrative and logistical support for records management as specified in DoDD 5100.3.
  - 4.16.4. Advises personnel on recovery or reconstruction of records.

## **5. Command Records Managers and Agency Records Managers.**

- 5.1. Manage the records program within their command or agency as specified in Federal laws, NARA guidelines and applicable Air Force 33- (and 37-) series publications. MAJCOM/FOA/DRU internal record-keeping programs will comply with host base guidelines for storage, staging, retrieval, and training.
- 5.2. Establish and manage a training program for newly appointed base RMs and for continuing training and education.
- 5.3. Provide guidance on document imaging and electronic record-keeping requirements. If records are to be maintained electronically, establish and implement command-wide process for electronically storing records having a retention of 10 years or less, with manual application of disposition, where a DoD 5015.2-STD compliant system is not implemented. Records with a retention of more than 10

years are not authorized for electronic storage without a compliant system or approval of HQ USAF/ILCX.

5.4. Ensure records generated by command or agency directives and information collections (forms) are scheduled. When a command or FOA is designated as the office of primary responsibility (OPR) for an Air Force publication, the CRM or ARM ensures records generated by the prescribed processes are scheduled. Send documentation to support this action to HQ USAF/ILCX.

5.4.1. Provide instruction to the OPR on submitting records disposition recommendation (AF Form 525, **Records Disposition Recommendation**).

5.4.2. Agency record managers must ensure functional series records dispositions are current. At a minimum, during the month of September review applicable tables and rules in AFMAN 37-139 and submit changes or a negative reply, as applicable, through their functional Air Force OPR to HQ USAF/ILCX. When processes change, are deleted, or new ones implemented, submit records scheduling information as previously stated.

5.5. Coordinate contract record-keeping requirements with MAJCOM contracting office (see paragraph 10.).

5.6. Review each base RM program at least once every 24 months.

5.7. Work with the IG to:

5.7.1. Identify areas requiring special review by command IG teams.

5.7.2. Provide compliance evaluation criteria and standards for functional area inspectors.

5.7.3. Establish crossfeed procedures to ensure command units are aware of records management evaluation contained in IG reports. Send a copy of procedures to HQ USAF/ILCX.

5.8. Establish a local support agreement with the host base RM, when deemed necessary, for program assistance, training, electronic records storage (where applicable), staging, or records shipping services.

**6. Base Records Manager (RM).** The RM administers the installation program. Their duties fall into three major areas: providing assistance, managing staging areas, and training.

6.1. Providing Assistance.

6.1.1. Implements the Air Force Records Management Program across the base and provides assistance in the Air Force 33- and 37-series publications and guidance published by NARA.

6.1.2. Makes recommendations on records storage issues. Provides guidance on using document imaging systems for records storage and authorized disposition of paper-based records following imaging.

6.1.3. Provides guidance on electronic record-keeping requirements and implements MAJCOM/local procedures for creating, transferring, storing, retrieving, and disposing of electronic records.

6.1.4. Reviews OPR proposals for electronic storage and document imaging of records, makes recommendation to improve processes, and sends the proposal to the CRM before implementation.

- 6.1.4.1. (Added-30SW) Base RM will perform a periodic review of document imaging systems during the same 24-month scheduled staff assistance visits (SAV).
- 6.1.5. Implements the Records Information Management System according to AFMAN 37-123.
- 6.1.6. Establishes and implements procedures for processing and approving file plans not specified by the CRM.
- 6.1.7. Investigates incidences of lost records and unauthorized destruction of records.
  - 6.1.7.1. Provides guidance and assistance to reconstruct lost/destroyed records.
  - 6.1.7.2. Makes recommendations to management on preventing future records loss.
  - 6.1.7.3. Provides report as prescribed by AFI 37-138.
- 6.1.8. Reviews base directives and forms/Information Management Tool (IMT) before publication to ensure compliance with records management directives.
- 6.1.9. Provides instruction to the OPR on submitting AF Form 525, **Records Disposition Recommendation**, for new or revised records schedule.
- 6.1.10. Provides records management administrative and logistical support for combatant commands where a support agreement exists.
- 6.1.11. Ensures offices of record receive a SAV at least every 24 months.
  - 6.1.11.1. (Added-30SW) Base RM will establish, maintain, and distribute SAV schedule to ensure each FARM is visited at least once every 24 months using 30 SW CL 33-22, **Records Management (RM)—Functional Area Records Manager (FARM) Program**. The Base RM will review the FARM's Records Management Binder (RMB) and perform SAVs on offices according to that schedule. Discrepancies will be annotated and forwarded to the flight or squadron commander.
- 6.2. Managing Staging Areas.
  - 6.2.1. Manages a staging area for temporary storage of records pending destruction or transfer to a FRC including centralized storage of electronically stored inactive records.
    - 6.2.1.1. (Added-30SW) Base RM requests assistance from offices utilizing the Base Staging area to salvage and recycle all paper, boxes, and folders.
  - 6.2.2. Provides records staging service for tenant activities, if provided for in a support agreement.
  - 6.2.3. Maintains custody of and accountability for staged records, and accountability for records transferred to other agencies or FRCs by maintaining copies of the Standard Forms (SF) 135, **Records Transmittal and Receipt**, as prescribed in AFI 37-138.
  - 6.2.4. Makes the determination as to whether records have met criteria for disposition. Where required, the base RM negotiates contracts for the disposal of paper-based records stored in the staging area.
- 6.3. Training.
  - 6.3.1. Train all personnel within 3 months of assignment, including tenant activities' personnel. ANG personnel will be trained within 6 months of assignment.



6.3.2. Training must cover command-unique or local operating procedures or requirements, particularly where electronic storage processes are implemented.

6.3.3. Include instruction on requirement to identify personal papers, how to identify personal papers, and requirement to maintain them separately from official records.

6.3.4. Notify supervisors of the training completion and requirement to record training on their Supervisor's Employee Brief for civilian employees and on AF Form 623A, **On-The-Job Training Record Continuation Sheet** for military personnel.

**7. Functional Area Records Managers (FARM).** Each base-level unit, principal staff office within an Air Force organization, or contractor appoints a FARM. One or more FARMs may be required based on the span of control, the complexities of the mission, and the size of the organization's functional areas. Where a MAJCOM-approved electronic records management process or application has been implemented, a designated workgroup manager may perform a combination of FARM and records custodian duties. The FARM:

7.1. Serves as the point of contact for and monitors the records management program of their unit or functional area and serves as liaison with the base RM.

7.1.1. (Added-30SW) FARMs will maintain a concise and well-organized RMB and make it available upon RM inspections. See [Attachment 2 \(Added\)](#) for RMB contents. FARMs will also establish their own schedule, ensuring SAVs are performed on a minimum 12-month basis. Maintains a copy of the current SAV schedule in the RMB. Sends copy of report to the Base RM for review.

7.2. Guides and assists assigned personnel in maintaining and disposing of records.

7.2.1. (Added-30SW) FARMs will create Web RIMS accounts and provide Web RIMS training to newly assigned Records Custodians (RC) within 15 days of appointment. FARMs will approve all file plans in Web RIMS before forwarding to Base RM. Furthermore, they will have 30 days to ensure file plans are completed and approved by Base RM. Base RM will erase file plans not approved by that period from the web.

7.3. Assists in preparing files maintenance and disposition plans.

7.3.1. (Added-30SW) FARMs will maintain hard copies of Base RM approved files plan for each office he/she supports.

7.4. Ensures each office of record receives a SAV at least once every 24 months. Follows up with the COR on corrective actions for discrepancies noted during visits.

7.5. Ensures offices of record promptly retire eligible records and maintain accountability of such records.

7.5.1. (Added-30SW) FARMs will review and inventory records for corrections before transferring to the Base Staging Facility, Building 7425. The FARM ensures items annotated on SF 135, **Records Transmittal and Receipt**, are a mirror of contents in the box(s) staged. Signs SF 135 along with COR and RC to verify before submission to the Base RM for staging. The FARM must ensure records are never shipped to federal records centers without initially notifying the Base RM.

7.6. Schedules training for all personnel who create, maintain and dispose of records.



7.6.1. (Added-30SW) FARMs will ensure RCs receive Base RM training within 90 days of appointment. FARMs will post RM training to their copy of 30 SW Form 2 after RC successfully completes training. Also annotates training date in the Web RIMS Administrative Area.

7.7. Assists the RM in providing guidance on using document imaging systems and electronic storage media for records. Evaluates the effect of document imaging and electronic storage on creating, transferring, storing, retrieving, and disposing of office records. Reports problems to the COR and RM.

## **8. Chief of the Office of Record (COR).**

8.1. Responsible for physical and legal custody of all records the office creates or receives, regardless of their physical characteristics, including identifying appropriate disposition authorities (AFMAN 37-139) for records the office maintains according to AFI 37-138.

8.2. Ensures the office creates only essential records, permanently preserves valuable records, and disposes of temporary records according to AFMAN 37-139.

8.3. Ensures each office of record under their purview develops a file plan.

8.3.1. (Added-30SW) When a COR is the RC for the same office of record, the COR's supervisor or next in the chain of supervision, will be designated as COR for the integrity of records management.

8.4. Appoints a records custodian (RC).

8.4.1. (Added-30SW) COR appoints RC using 30 SW Form 2, in triplicate (original to the Base RM, one copy to the Unit FARM, and one copy for the COR file). CORs will post training to their copy after RC completes RM training. Also post training to AF Form 971, **Supervisor's Employee Brief**, for civilian personnel.

8.5. Ensures RCs attend records management training. The COR briefs the RC on office functions to include the reason why the office keeps records.

8.5.1. (Added-30SW) COR will ensure RCs received Web RIMS training from Unit FARM.

8.6. Submits proposals for establishing electronic records storage and document imaging systems to the RM.

8.7. Assists the FARM or RM in reviewing and evaluating automated information systems for their effect on creating, transferring, storing, retrieving, and disposing of records.

8.8. Ensures all personnel who create, maintain and dispose of records attend records management training.

**9. Records Custodian (RC).** The RC maintains, services, and disposes of the office records. RCs must learn the functional mission of the office of record that the records support and know the purposes the records serve. The RC:

9.1. Maintains the office file plan and accountability for active and inactive records.

9.2. Ensures eligible records are promptly and properly prepared to retire or transfer.

9.3. Must be proficient on the equipment used for storing and retrieving the records from the files.

9.4. Knows and implements the records maintenance, use, and disposition policies and procedures for records maintained.

9.5. Adjusts office records maintenance practices to provide accurate and effective reference service to the users of the records.

9.6. Consults with the COR, and when necessary with the FARM, on problems that affect creating, maintaining, using, and disposing of records.

**10. Contractor Records.** Records management oversight of a contractor's records is necessary to ensure all Air Force record-keeping requirements are met. Agencies or organizations initiating contracts must coordinate them with the applicable command or base RM.

10.1. Contractors performing Congressionally mandated program functions must create and maintain records to document these programs. The contract must include requirements for the delivery of all pertinent documentation of contractor program execution.

10.1.1. (Added-30SW) Contractor Records. CORs at offices of record for contractors will ensure their appointed FARMS or RCs receive Base RM training to ensure all Air Force record keeping requirements are met.

10.2. Many other types of contracts involve creating background data that may have value to the United States Government. Whenever appropriate, agency officials should require the delivery of such background data in addition to a final product. The contractor assigns the appropriate file identification and disposition instructions to all records delivered to the United States Government.

10.2.1. Contracts to produce statistical analyses specify the delivery of background data that may have value to the contracting agency or to other agencies.

10.2.2. Contracts to produce reports that represent Air Force policy specify the delivery of background data needed to verify assertions or justify conclusions.

10.2.3. Research contracts specify the delivery of background data that have value to the contracting agency.

10.3. Background electronic data and records specified for delivery to the contracting agency must be accompanied by sufficient technical documentation to permit the Air Force to use the data.

10.4. A deferred ordering and delivery data clause should be included in the contract to acquire any data and records that may have value to the Air Force but were not identified in advance.

10.5. Contracts must list records management instructions and directives for contractor compliance.

**11. Support Agreements.** Base RMs will provide support to any and all organizations authorized to receive administrative or logistical support. To validate and defend availability of resources, a support agreement is an essential tool. Local support agreements for records management services can be between the host and Air Force tenants of other MAJCOMs, other services, or DoD components and non-DoD agencies. Normally it is the responsibility of the receiving activity to assess and generate requests for support. If a support agreement is necessary, the RM must work with the base communications unit plans flight to modify an existing agreement or create a new one. Follow the procedures in AFI 25-201, *Support Agreements Procedures*.

**12. Information Collections, Records, and Forms/Information Management Tools (IMT).**

12.1. Information Collections: No information collections are created by this publication.

12.2. Records: Records pertaining to disposition recommendations, on-the-job training, support agreements, transmittal and receipt are created by this publication. Retain and dispose of records created by this publication according to AFMAN 37-139, Table 37-19, Rules 1, 2, 3, 4, 5, 6, 8.01, 12, 17 and Table 37-15, Rules 7, 8, 9, and 10.

12.3. Forms or IMTs (Adopted and Prescribed).

12.3.1. Adopted Forms or IMTs: AF Form 525, **Records Disposition Recommendation**; AF Form 623A, **On-The-Job Training Records Continuation Sheet**; AF Form 847, **Recommendation for Change of Publication**; and SF 135, **Records Transmittal and Receipt**.

12.3.1. (30SW) Adopted Forms or IMTs: AF 971, **Supervisor's Employee Brief**, and AF 1256, **Certificate of Training**.

12.3.2. Prescribed Forms or IMTs: No forms are prescribed by this publication.

12.3.2. (30SW) Forms Prescribed. 30 SW Form 2, **Records Management (RM) Appointment** and 30 SW Form 3, **Establishment/Deletion for An Office of Record**.

MICHAEL E. ZETTLER, Lt Gen, USAF  
DCS/Installations and Logistics

**Attachment 1****GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

Public Law 104-13, *The Paperwork Reduction Act of 1995*

Title 18, U.S.C., *Crime and Criminal Procedure*, Part I, *Crimes*, Chapter 101, *Records and Reports*, Section 2071, *Concealment, Removal, or Mutilation Generally*

Title 44, U.S.C., *Public Printing and Documents*, Chapter 29, *Records Management by the Archivist of the United States and by the Administrator of General Services*

Title 44, U.S.C., Chapter 31, *Records Management by Federal Agencies*

Title 44, U.S.C., Chapter 33, *Disposal of Records*, Section 3301, *Definition of Records*

Title 44, U.S.C., Chapter 35, *Coordination of Federal Information Policy*

Title 36, CFR, *Parks, Forests, and Public Property*, Chapter XII, *National Archives and Records Administration*, Subchapter B, *Records Management*

Title 36, CFR, *Parks, Forests, and Public Property*, Chapter XII, *National Archives and Records Administration*, Part 1234, *Electronic Record Management*

Uniform Code of Military Justice, Article 92, *Failure to Obey Order or Regulation*

OMB Circular A-130, *Management of Federal Information Resources*

DoD 5015.2-STD, *Design Criteria Standard for Electronic Records Management Software Applications*, June 2002

DoDD 5015.2, *DoD Records Management Program*, March 6, 2000

DoDD 5100.3, *Support of the Headquarters of Combatant and Subordinate Joint Commands*, November 15, 1999, Change 1, March 23, 2000

AFPD 37-1, *Air Force Information Management* (will become AFPD 33-3)

AFI 25-201, *Support Agreements Procedures*

AFI 33-321, *Authentication of Air Force Records*

AFI 33-360, Volume 2, *Forms Management Program*

AFI 37-138, *Records Disposition - Procedures and Responsibilities*

AFDIR 33-303, *Compendium of Communications and Information Terminology*

AFMAN 37-123, *Management of Records*

AFMAN 37-139, *Records Disposition Schedule*

***Abbreviations and Acronyms***

**AFDIR**—Air Force Directory

**AFI**—Air Force Instruction

**AFMAN**—Air Force Manual  
**AFPD**—Air Force Policy Directive  
**ARM**—Agency Records Manager  
**CFR**—Code of Federal Regulations  
**COR**—Chief of an Office of Record  
**CRM**—Command Records Manager  
**DA&M**—Director of Administration and Management  
**DoDD**—Department of Defense Directive  
**DRU**—Direct Reporting Unit  
**FARM**—Functional Area Records Manager  
**FOA**—Field Operating Agency  
**FRC**—Federal Records Centers  
**GSA**—General Services Administration  
**IG**—Inspector General  
**IMT**—Information Management Tool  
**MAJCOM**—Major Command  
**NARA**—National Archives and Records Administration  
**OMB**—Office of Management and Budget  
**OPR**—Office of Primary Responsibility  
**OSD**—Office of the Secretary of Defense  
**RC**—Records Custodian  
**RM**—Records Managers  
**SAV**—Staff Assistance Visit  
**U.S.C.**—United States Code

### ***Terms***

**Chief of Office of Record (COR)**—Person designated as head of an office where records are created, received, or maintained; has responsibility for physical and legal custody of records. This can be at staff level (division chief, branch chief, director) wing, squadron, or flight.

**Command Records Manager (CRM)**—Records managers at MAJCOM, specific FOAs, DRUs, and Combatant Commands for which the Air Force is the executive agent.

**Disposable**—Temporary and approved by NARA for disposal, either immediately or after a specified retention period.

**Disposition**—(1) A comprehensive term that includes destruction, salvage, or donation; transfer to a

staging area or records center; transfer from one organization to another; (2) Actions taken with inactive records. These actions may include erasure of data, transfer to a records center, or transfer to the National Archives (Title 36, CFR, Chapter XII, Part 1234).

**Disposition Instructions**—Precise instructions in AFMAN 37-139, specifying the date or event for cutoff, transfer, retirement, or destruction of records.

**File**—An organized collection of related data, usually arranged into logical records that are stored together and treated as a unit.

**Information Management Tool (IMT)**—Information Management Tool, formerly referred to as a form. The new nomenclature reflects the expanded capability brought on by the new technology.

**Office of Primary Responsibility (OPR)**—Any headquarters, agency, or activity having primary functional interest in, and responsibility for, a specific action, project, plan, program, or problem.

**Personal papers**—Documentary materials belonging to an individual that are not used to conduct agency business. Related solely to an individual's own affairs or used exclusively for that individual's convenience. Must be clearly designated as such and kept separate from the records.

**Records**—(See paragraph 2.)

**Records Custodian (RC)**—Person designated within an office of record to manage the internal record keeping program, having guardianship and control of records.

**Retire**—The transfer of inactive records to a base records storage area or a Federal records center.

**Scheduled**—Having final disposition approved by NARA. Scheduling provides mandatory instructions for what to do with records (and nonrecord materials) no longer needed for current Government business.



**Attachment 2 (Added-30SW)****RECORDS MANAGEMENT BINDER (RMB) REQUIREMENTS**

**A2.1. (Added-30SW)** Table of Contents for RMB.

**A2.2. (Added-30SW)** 30 SCS (Intranet) Page for Information/Communications Management (Helpful RM Items). Website: <https://intranet.vandenberg.af.mil/organization/30og/30scs/c4-contractor/im/rm/records/index.htm>

**A2.3. (Added-30SW)** Records Management (RM) Appointment Memorandums. All memorandums should be signed by COR.

**A2.4. (Added-30SW)** AF 1256, **Certificate of Training**, and/or related documents. Base RM issues to newly appointed RM personnel upon completion of Base RM Training.

**A2.5. (Added-30SW)** RM Personnel Spreadsheet. This can either be created in Microsoft Access or Excel with the following listed columns: Unit; Name of FARM, Date Appointed, Duty Phone, COR, Last FARM SAV, and Projected FARM SAV.

**A2.6. (Added-30SW)** Office File Plans. Hard copies of file plans maintained by Unit FARM.

**A2.7. (Added-30SW)** RM Waiver (Deviation) Memorandums. Including all RM waiver memorandums such as Request to Maintain Files in Current Files Area with records retention period of 3- to 8-years and Request to Use Nonstandard Supplies such as 6-part and hanging folders, and use of plastic folder tabs.

**A2.8. (Added-30SW)** RM Spreadsheet for Records Staged in Bldg 7425 (Base Staging Facility). This can either be created in Microsoft Access or Excel with the following listed columns: Accession Number; Unit; Date; Records Location; Number of Staging Containers; Applicable Decision Logic Tables (DLT); Title of Records; Point of Contact (POC), and Records Disposition.

**A2.9. (Added-30SW)** SF 135, **Records Transmittal And Receipt**. If applicable, copies of SF 135 should be maintained by FARM for offices of records that have records staged at Bldg 7425.

**A2.10. (Added-30SW)** RM Examples. Training aides.

**A2.11. (Added-30SW)** RM Updates. Items of special interest generated at higher headquarters and disseminated down channel through the Base RM for informational purposes.

**A2.12. (Added-30SW)** RM Directives. (Optional).